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PCT

PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of

Docket No: Q88663

Tsuyoshi NAKANO, et al.

Appln. No.: 10/540,515

Group Art Unit: Unassigned

Confirmation No.: Unassigned

Examiner: Unassigned

Filed: June 23, 2005

For: COMPOUND SEMICONDUCTOR EPITAXIAL SUBSTRATE AND METHOD FOR
MANUFACTURING THE SAME

INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. §§ 1.97 and 1.98

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

In accordance with the duty of disclosure under 37 C.F.R. § 1.56, Applicant hereby notifies the U.S. Patent and Trademark Office of the documents which are listed on the attached PTO/SB/08 A & B (modified) form and/or listed herein and which the Examiner may deem material to patentability of the claims of the above-identified application.

1. JP 9-64062 issued March 7, 1997, to NEC Corp., with English Abstract.
2. JP 6-163599 issued June 10, 1994, to NEC Corp., with English Abstract.
3. J.W. Matthews et al., "Defects in Epitaxial Multilayers", *Journal of Crystal Growth*, Vol. 27, 1974, pp. 118-125.
4. J.W. Matthews et al., "Defects in Epitaxial Multilayers", *Journal of Crystal Growth*, Vol. 32, No. 2, 1976, pp. 265-273.
5. JP 3224437 published August 24, 2001, to Fujitsu, Ltd., with English Abstract.
6. JP 2994863 published October 22, 1999, to Matsushita Electric Ind. Co., Ltd., with English Abstract.

One copy of each of the listed documents is submitted herewith.

NAKANO et al.

U.S. Appln. No.: 10/540,515

INFORMATION DISCLOSURE STATEMENT

The present Information Disclosure Statement is being filed: (1) No later than three months from the application's filing date; (2) Before the mailing date of the first Office Action on the merits (whichever is later); or (3) Before the mailing date of the first Office Action after filing a request for continued examination (RCE) under §1.114, and therefore, no Statement under 37 C.F.R. § 1.97(e) or fee under 37 C.F.R. § 1.17(p) is required.

The submission of the listed documents is not intended as an admission that any such document constitutes prior art against the claims of the present application. Applicant does not waive any right to take any action that would be appropriate to antedate or otherwise remove any listed document as a competent reference against the claims of the present application.

The USPTO is directed and authorized to charge all required fees, except for the Issue Fee and the Publication Fee, to Deposit Account No. 19-4880. Please also credit any overpayments to said Deposit Account. A duplicate copy of this paper is attached.

Respectfully submitted,



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WASHINGTON OFFICE

23373

CUSTOMER NUMBER

Date: September 20, 2005

Substitute for Form 1449 A & B/PTO		Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>		Application Number	10/540,515
		Confirmation Number	Unassigned
		Filing Date	June 23, 2005
		First Named Inventor	Tsuyoshi NAKANO
		Art Unit	Unassigned
		Examiner Name	Unassigned
		Attorney Docket Number	Q88663
Sheet	1	of	1

U.S. PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city, and/or country where published.	Translation ⁶
		J.W. Matthews et al., "Defects in Epitaxial Multilayers", <i>Journal of Crystal Growth</i> , Vol. 27, 1974, pp. 118-125	
		J.W. Matthews et al., "Defects in Epitaxial Multilayers", <i>Journal of Crystal Growth</i> , Vol. 32, No. 2, 1976, pp. 265-273	

Examiner Signature		Date Considered	
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Applicant's unique citation designation number (optional). ²See Kind Codes of USPTO Patent Documents at www.uspto.gov, MPEP 901.04 or in the comment box of this document. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST. 3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to indicate here if English language Translation is attached.